



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/653,191	09/03/2003	Masanori Satake	116971	1739
25944	7590	04/12/2007		
OLIFF & BERRIDGE, PLC P.O. BOX 19928 ALEXANDRIA, VA 22320			EXAMINER JOHNSON, CARLTON	
			ART UNIT 2136	PAPER NUMBER
			MAIL DATE 04/12/2007	DELIVERY MODE PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Advisory Action</b> <b>Before the Filing of an Appeal Brief</b>	Application No.	Applicant(s)	
	10/653,191	SATAKE ET AL.	
	Examiner	Art Unit	
	Carlton V. Johnson	2136	

**--The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

THE REPLY FILED 27 March 2007 FAILS TO PLACE THIS APPLICATION IN CONDITION FOR ALLOWANCE.

1. ☒ The reply was filed after a final rejection, but prior to or on the same day as filing a Notice of Appeal. To avoid abandonment of this application, applicant must timely file one of the following replies: (1) an amendment, affidavit, or other evidence, which places the application in condition for allowance; (2) a Notice of Appeal (with appeal fee) in compliance with 37 CFR 41.31; or (3) a Request for Continued Examination (RCE) in compliance with 37 CFR 1.114. The reply must be filed within one of the following time periods:

- a) ☐ The period for reply expires \_\_\_\_\_ months from the mailing date of the final rejection.  
b) ☒ The period for reply expires on: (1) the mailing date of this Advisory Action, or (2) the date set forth in the final rejection, whichever is later. In event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of the final rejection.

Examiner Note: If box 1 is checked, check either box (a) or (b). ONLY CHECK BOX (b) WHEN THE FIRST REPLY WAS FILED WITHIN 6 MONTHS OF THE FINAL REJECTION. See MPEP 706.07(f).

Extensions of time may be obtained under 37 CFR 1.136(a). The date on which the petition under 37 CFR 1.136(a) and the appropriate extension fee have been filed is the date for purposes of determining the period of extension and the corresponding amount of the fee. The appropriate extension fee under 37 CFR 1.17(a) is calculated from: (1) the expiration date of the shortened statutory period for reply originally set in the final Office action; or (2) the date in (b) above, if checked. Any reply received by the Office later than three months after the mailing date of the final rejection, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### NOTICE OF APPEAL

2. ☐ The Notice of Appeal was filed on \_\_\_\_\_. A brief in compliance with 37 CFR 41.37 must be filed within two months of the date of filing the Notice of Appeal (37 CFR 41.37(a)), or any extension thereof (37 CFR 41.37(e)), to avoid dismissal of the appeal. Since a Notice of Appeal has been filed, any reply must be filed within the time period set forth in 37 CFR 41.37(a).

#### AMENDMENTS

3. ☐ The proposed amendment(s) filed after a final rejection, but prior to the date of filing a brief, will not be entered because  
(a) ☐ They raise new issues that would require further consideration and/or search (see NOTE below);  
(b) ☐ They raise the issue of new matter (see NOTE below);  
(c) ☐ They are not deemed to place the application in better form for appeal by materially reducing or simplifying the issues for appeal; and/or  
(d) ☐ They present additional claims without canceling a corresponding number of finally rejected claims.

NOTE: \_\_\_\_\_. (See 37 CFR 1.116 and 41.33(a)).

4. ☐ The amendments are not in compliance with 37 CFR 1.121. See attached Notice of Non-Compliant Amendment (PTOL -324).  
5. ☐ Applicant's reply has overcome the following rejection(s): \_\_\_\_\_.  
6. ☐ Newly proposed or amended claim(s) \_\_\_\_\_ would be allowable if submitted in a separate, timely filed amendment canceling the non-allowable claim(s).  
7. ☒ For purposes of appeal, the proposed amendment(s): a) ☐ will not be entered, or b) ☒ will be entered and an explanation of how the new or amended claims would be rejected is provided below or appended.  
The status of the claim(s) is (or will be) as follows:  
Claim(s) allowed: 6-9 and 11.  
Claim(s) objected to: \_\_\_\_\_.  
Claim(s) rejected: 1-5, 10 and 12-16.  
Claim(s) withdrawn from consideration: \_\_\_\_\_.

#### AFFIDAVIT OR OTHER EVIDENCE

8. ☐ The affidavit or other evidence filed after a final action, but before or on the date of filing a Notice of Appeal will not be entered because applicant failed to provide a showing of good and sufficient reasons why the affidavit or other evidence is necessary and was not earlier presented. See 37 CFR 1.116(e).  
9. ☐ The affidavit or other evidence filed after the date of filing a Notice of Appeal, but prior to the date of filing a brief, will not be entered because the affidavit or other evidence failed to overcome all rejections under appeal and/or appellant fails to provide a showing of good and sufficient reasons why it is necessary and was not earlier presented. See 37 CFR 41.33(d)(1).  
10. ☐ The affidavit or other evidence is entered. An explanation of the status of the claims after entry is below or attached.

#### REQUEST FOR RECONSIDERATION/OTHER

11. ☐ The request for reconsideration has been considered but does NOT place the application in condition for allowance because: \_\_\_\_\_  
12. ☐ Note the attached Information Disclosure Statement(s). (PTO/SB/08) Paper No(s). \_\_\_\_\_  
13. ☒ Other: See Continuation Sheet.

Continuation of 13. Other: Claimed Limitation of cryptographic key utilized to determine whether workflow is within a domain or outside is missing from claims 6, 7, 8, 9, 11.

# 1. Response to Remarks

1.1 Applicant argues the validity of the 35 U.S.C. 112 second paragraph rejections based on being indefinite and lacking antecedent basis. The terms specified in the previous Office Action were not defined within the Specification or original claims. Each 35 U.S.C. 112 second paragraph rejection is concluded with a statement as to how each term was defined by the Examiner for the prosecution of the application in the Office Action.

1.2 Applicant argues that the referenced prior art does not teach or disclose, "... a selection unit for selecting one of a first signature key certified by a first certificate authority and a second signature key certified by a second certificate authority ...".

By definition, a Certificate Authority (CA) is a security information repository used for the retrieval of a digital certificate, which contains a public encryption key that is used in the generation of a digital signature, signing digital data, and acting as a verifying authority.

The Shear prior art discloses a selection unit based on a software implementation means (see Shear col. 3, lines 19 -21: software unit, implementation means) to select an encryption key for digital signature generation using multiple encryption keys from multiple Certificate Authorities (see Shear col. 4, lines 65-67: multiple CAs). A signature key is equivalent to an encryption key.

As per applicant's own disclosure, the Shear prior art discloses that a verifying authority can sign and certify a load module or instruction data. (see Remarks dated 10-25-2006 Page 2, Lines 23-24)

Applicant's disclosure indicates an encryption key for each of the two verifying authorities (i.e. CAs). The Shear prior art discloses multiple (at least two) Certificate Authorities (CA) that can be designated as a first and a second CA. (see Shearer col. 6, lines 62 -65: verifying authorities; col. 10, lines 32 -34; col. 10, lines 38-40; col. 6, lines 62-65: multiple verifying authorities (i.e. CAs)) In addition, the Shear prior art discloses the capability for each CA to distribute a certificate and a public key within the certificate. (see Shearer col. 10, lines 38-40: multiple verifying authorities (i.e. CA) each with an encryption key; col. 4, 61 -67; col. 6, lines 46-52: multiple verification or encryption keys, a first and a second encryption key)

Plus, the Shear prior art discloses a first signature key (i.e. a public or certificate based encryption key utilized for the generation, signing, and verification of a digital signature). (see Shearer col. 10, lines 38 -40: multiple verifying authorities (i.e. Certificate Authorities) each with a signature key; col. 4, 61 -67; col. 6, lines 46-52: multiple verification or signature keys, a first and a second signature key)

These claim limitations of a selection unit, and multiple CAs plus multiple keys are disclosed by the prior art of record.

1.3 Applicant argues that the referenced prior art does not teach or disclose, "... a judging unit for judging whether or not the next job processor is a device within the network ...".

The Shear prior art discloses a judging unit or software means (see Shear col. 3, lines 19 -21: software implementation) to implement the prior art. In addition, the Shear prior art discloses the capability to provide an encryption key utilized to generate a digital signature. A domain is defined as a set of network address such as a local area network. The Shear and Teng prior art combination discloses a judging unit (software module) that provides the capability to determine whether a workflow (i.e. job process) is within the present domain or not. A workflow is equivalent to a job process (i.e. instructions to complete a task).

The Shear and Teng prior art combination discloses a workflow (i.e. a job process) that is only accessible by entities within an associated domain or set of interconnected network nodes (see Teng paragraph [0192], lines 1 -8: attribute, whether network node within a specific domain, network or outside), and the capability to for a judging unit (i.e. software module) that provides the capability to determine whether a job process is within the present domain or not. In addition, the Shear and Teng prior art combination discloses that a specific signature key is used in order to access a particular workflow associated with a particular domain, which is equivalent to Applicant's limitation.

This claim limitation of a determination as to whether a job process is within a network or outside is disclosed by the prior art of record.

1.4 Applicant argues that the referenced prior art does not teach or disclose, "... a job processor ...".

Applicant's specification discloses the invention is concerned with workflow system. (see Specification paragraphs [0004], [0006]). The Shear and Teng prior art combination discloses a workflow processing environment which is equivalent to the job processing environment utilizing a job processor. (see Shear col. 3, lines 24 -32: information processing environment; see Teng paragraph [0192], lines 1-8: workflow environment) The software within the Shear and Teng prior art combination perform equivalent functions to a job processor.

The claim limitation of a job processor is disclosed by the prior art of record.

1.5 Applicant argues that the referenced prior art does not teach or disclose, "... a first signature conversion unit for, when it is determined in the verification by the first verification unit that the electronic signature attached to the document is signed using a signature key for the internal network, deleting the electronic signature from the document, re-attaching an electronic signature to the document using a signature key of the proxy device for the external network ...".

The Shear prior art discloses the capability to use a first or a second signature key to generate and attach (i.e. sign) a digital document. (see Response to Remarks 1.2)

In addition, the Shear prior art discloses the capability to generate and attach a digital signature to a load module containing instructions that are utilized in a job process. (see Shear Figure 5; col. 10, lines 54 -59: sign, attach or re-attach a digital signature to a digital document)

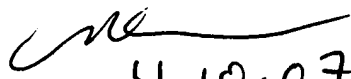
The Shear and Shrader prior art combination discloses the capability to delete a digital signature from digital data (i.e. a document). (see Shrader col. 14, lines 24-37: delete a digital signature) And, the Shear prior art discloses the capability to generate and attach a digital signature to a digital document. (see Shear; col. 10, lines 54-59: sign and attach a digital signature, again) The attached

digital can be the first or second attachment of a digital signature to the same digital data (i.e. document).

The claim limitations of the deletion of a digital signature, and attachment are disclosed by the prior art of record.

1.6 The Shear (6,157,721), Teng (20020138577), and Shrader (6,772,341) prior art combination discloses all claims limitations, and addresses all of Applicant's arguments dated October 25, 2006 and March 27, 2007, therefore, the rejections based on the referenced prior art are proper and have been upheld.

NASSER MOAZZAMI  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100

  
4/10/07